

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
60096-011TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/509788**INTERNATIONAL APPLICATION NO.  
PCT/US2002/40107INTERNATIONAL FILING DATE  
16 December 2002 (16.12.2002)PRIORITY DATE CLAIMED  
12 April 2002 (12.04.2002)

## TITLE OF INVENTION

APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

## APPLICANT(S) FOR DO/EO/US

ILLINOIS VALLEY HOLDING COMPANY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154 (d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Check, Petition to Make Special Because of Applicant's Age and Declaration of John M. Bailey



DTOS Rec'd PCT/PTO .30 SEP 2004

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ILLINOIS VALLEY HOLDING COMPANY

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2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items.

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- document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. *A separate cover sheet is included.*
  13. ☒ A preliminary
  14. ☐ An App
  15. ☐ A subs
  16. ☐ A powe
  17. ☐ A comp
  18. ☐ A secon
  19. ☐ A secon
  20. ☒ Other ite

ASSISTANT COMMISSIONER FOR PATENTS,  
KINDLY ACKNOWLEDGE RECEIPT BY DATE STAMPING AND RETURNING.

Applicant(s): *John Bailey*  
Title: *Apparatus and method for filtering particulate and reducing NOx emissions*  
☒ Transmittal Letter(s) *(2) International Phase*  
☐ Specification: \_\_\_\_\_ Pages  
☐ Number of Claims: \_\_\_\_\_ Pages  
☐ Abstract: \_\_\_\_\_ Pages  
☐ Drawings: \_\_\_\_\_ Sheet(s) \_\_\_\_\_ Formal \_\_\_\_\_ Informal  
☒ Declaration *YES* signed \_\_\_\_\_  
☐ Amendment/Response  
☒ Assignment & Recordation Form Cover Sheet  
☐ Petition under 37 CFR 1.136 (a)  
☐ Information Disclosure Statement Transmittal, Form 1449 w/Ref.  
☐ Part B Issue Fee Transmittal  
☐ PCT Request  
☐ PCT Demand  
☐ Fee Calculation Sheet  
☐ Notice of Appeal ☐ Appeal Brief  
☐ Statement under 37 CFR 3.73 (b)  
☐ PCT EZ Diskette  
☐ Certificate of Express Mailing  
☐ Application Data Sheet  
☐ Other *Article 19 Amendment, Petition to Make Special*  
*Because of Applicant's Age and Declaration of John M. Bailey*

PCT/US#: *US 2002/40107*  
Filed: *16.12.2002*  
Att/Client/Matter No.: *60096-011*  
☐ Small Entity Declaration  
☒ Fee of \$ *645.00* Paid by *45 Amy*  
☐ Deposit Acct. No. 08-3460  
☒ Check No. *9258*  
Date Mailed: *9-30-2004*  
Express Mail No.: *EV458945610US*

- 1.825.

John M. Bailey

**10/509788**

DTOS Rec'd PCT/PTO .30 SEP 2004

G:PEORIA\LANECHR

Rev. 6/04

**EXPRESS MAIL CERTIFICATE OF MAILING (37 CFR 1.10)****Express Mail No.: EV 458945610 US**

Docket No.

60096-011

**10/509788**

Applicant(s): John Bailey

International Application No.  
PCT/US2002/40107International Filing Date  
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DO/EO/US

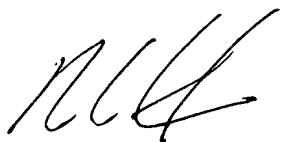
Title:

APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS

Transmitted herewith is:

- ☒ Transmittal Letter to the US Designated/Elected Office Concerning a Filing Under 35 USC 371
- ☒ Article 19 Amendments
- ☒ Declaration of Applicant
- ☒ Assignment and Assignment Recordation Form
- ☒ Check in the amount of \$642.00
- ☒ Acknowledgement Card
- ☒ Preliminary Amendment
- ☒ Petition to Make Special Because of Applicant's Age
- ☒ Declaration of John M. Bailey
- ☐
- ☐
- ☐
- ☐
- ☐



Signature

Dated:

Sept 30, 2004

Robert C. Haldiman, #45,437  
Husch & Eppenberger, LLC  
190 Carondelet Plaza  
St. Louis MO 63105-3441  
309-637-4900  
309-637-4928 FAX

Customer No. 029493

I certify that the document and fee is being deposited on  
9-30-2004 with the U.S. Postal Service as  
Express Mail under 37 C.F.R. 1.10 and is addressed to the  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA  
22313-1450.

Express Mail No.: EV 458945610 US



Signature of Person Mailing Correspondence

Deborah Lane-Christian

Typed or Printed Name of Person Mailing Correspondence